

**Safety Attribute Inspection (SAI) Data Collection Tool
1.3.6 AD Management (AW)**

ELEMENT SUMMARY INFORMATION

Purpose of This Element (Certificate Holder's responsibility):

- To provide policy, procedures, instructions and/or information in the manual which allows personnel concerned with the A.D. Management process to perform their duties and responsibilities to a high degree of safety.

Objective (FAA oversight responsibility):

- To determine if the Certificate Holder's AD Management process meets all applicable regulatory requirements of the Federal Aviation Regulations and FAA policies.
- To determine if the Certificate Holder's AD Management process incorporates the System Safety Attributes.
- To identify any shortfalls in the Certificate Holder's AD Management process.

SUPPLEMENTAL INFORMATION

Specific Regulatory Requirement(s) (SRRs):

- SRRs:
 - 121.135(a)(1)
 - 121.135(b)(1)
 - 121.135(b)(2)
 - 121.135(b)(3)
 - 121.380(a)(2)(vi)
 - 121.380(c)(3)
 - 121.380(d)
 - 39.15
 - 39.17
 - 39.19
 - 39.21
 - 39.23
 - 39.27
 - 39.3
 - 91.403(a)
 - A047(a)
 - A047(b)
 - A047(c)
 - A047(d)(1)
 - A047(d)(2)

A047(d)(3)

A047(d)(4)

Related CFR(s) & FAA Policy/Guidance:

- Related CFRs:

39.11

39.21

39.23

39.7

- FAA Policy/Guidance:

FAA Order 8300.10, Volume 2, Chapter 71

HBAW 98-20

AC 39-7C

SAI SECTION 1 – PROCEDURES ATTRIBUTE

Objective: Procedures, instructions and information contained in Certificate Holder's manual are documented methods for accomplishing a process. Policies contained in the Certificate Holder's manual should establish the Certificate Holder's compliance posture. Policies may not be stand-alone statements but may be imbedded within procedures, instructions or information regarding a particular regulatory requirement. The questions in this section of the data collection tool are designed to assist the inspector in determining if the Certificate Holder's manual has documented or prescribed methods of accomplishing the process requirements that provide answers to the associated who, what, when, where and how type questions. This section of the data collection tool contains policy questions, procedural questions and instructional or informational questions pertaining to various types of Certificate Holder requirements such as actions, prohibitions or resources (i.e., personnel, facilities, equipment, technical data, etc.).

Tasks

To meet this objective, the inspector must accomplish the following tasks:

- 1 Review the information listed in the Supplemental Information section of this data collection tool.
- 2 Review the duties and responsibilities for management and other personnel identified by the Certificate Holder who accomplish the AD Management process.
- 3 Review the Certificate Holder's manual to ensure that it contains policies, procedures, instructions and information necessary for the AD Management process.

Questions

To meet this objective, the inspector must answer the following questions:

- 1 Does the Certificate Holder's manual content meet the specific regulatory and FAA policy requirements for an AD Management process:

<p>1.1 Does the Certificate Holder's manual contain general policies for the AD Management process that comply with the specific regulatory requirements? SRRs: 121.135(b)(1); 121.380(a)(2)(vi); 121.380(c)(3); 121.380(d); 39.3; 39.15; 39.17; 39.19; 39.21; 39.23; 39.27; A047(a); A047(b); A047(b); A047(d)(3); 91.403(a)</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> • Check that the certificate holder's manual contains instructions and information necessary for the personnel concerned to perform the duty and responsibility to transfer with the aircraft at the time the aircraft is sold, records containing the current status of applicable airworthiness directives including date, and methods of compliance, and if the AD involves recurrent action, the date and time when the next action is required. <i>Sources:</i> 121.135(a)(1); 121.380(a)(2)(vi); 121.380(c)(3) <i>Interfaces:</i> 1.2.3-aw; 1.3.1-aw; 1.3.2-aw • Check that the certificate holder's manual contains information that FAA's airworthiness directives are legally enforceable rules that apply to aircraft, aircraft engines, propellers, and appliances <i>Sources:</i> 121.135(b)(24); 39.3 • Check that the certificate holder's manual contains a general policy that the owner or operator of the aircraft identified in the certificate holder or operator's aircraft listing is primarily responsible for maintaining that aircraft in an airworthy condition 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
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as required by 14CFR §91.403(a) and Part 39 <i>Sources:</i> 121.135(b)(1) Op Spec A047 paragraph a <i>Interfaces:</i> 1.1.1–aw; 1.3.1–aw; 1.3.2–aw	
1.2 Does the Certificate Holder's manual cite the regulatory requirements listed in the Supplemental Information section of this SAI? SRRs: 121.135(b)(3)	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.3 Does the Certificate Holder's manual contain the duties and responsibilities for personnel who will accomplish the AD Management process? SRRs: 121.135(b)(2)	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.4 Does the Certificate Holder's manual include instructions and information for personnel to meet the requirements of the AD Management process? SRRs: 121.135(a)(1) <i>Related Design JTIs:</i> <ul style="list-style-type: none"> • Check that the certificate holder's manual contains instructions and information necessary to allow personnel concerned to comply with conditions and limitations specified in an AD. <i>Sources:</i> 121.135(a)(1); 39.11 <i>Interfaces:</i> 1.3.2–aw • Check that the certificate holder's manual contains instructions and information necessary to allow personnel concerned to perform inspections that must be carried out. <i>Sources:</i> 121.135(a)(1); 39.11 <i>Interfaces:</i> 1.3.2–aw; 1.3.4–aw • Check that the certificate holder's manual contains instructions and information necessary for the personnel concerned to perform the duty and responsibility to keep and retain, all records necessary to show that all requirements for the issuance of an airworthiness release under Sec. 121.709 have been met, until the work is repeated or superseded by other work or for one year after the work is performed. (using the system specified in the manual required in FAR 121.369) <i>Sources:</i> 121.135(a)(1); 121.380(a)(1); 121.380(c)(1) <i>Interfaces:</i> 1.2.3–aw; 1.3.1–aw; 1.3.2–aw 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.5 Does the Certificate Holder's manual include instructions and information necessary for personnel concerned to request FAA approval of an alternative method of compliance, if a change in a product affects its ability to accomplish the actions required by an airworthiness directive in any way? SRRs: 121.135(a)(1); 39.17 <i>Related Design JTIs:</i> <ul style="list-style-type: none"> • Check that the certificate holder's manual contains a general policy that an airworthiness directive applies to each product identified in the airworthiness directive, even if an individual product has been changed by modifying, altering, or repairing it in the area addressed by the airworthiness directive <i>Sources:</i> 121.135(a)(1); 39.15 <i>Interfaces:</i> 1.2.2–aw; 1.3.2–aw • Check that the certificate holder's manual contains instructions and information necessary to allow personnel concerned to 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

<p>perform the duty and responsibility, when requesting an alternate method of compliance (AMOC), to include the specific actions proposed by the certificate holder to address the unsafe condition. <i>Sources:</i> 121.135(a)(1); 39.17; 39.19 <i>Interfaces:</i> 1.2.2–aw</p> <ul style="list-style-type: none"> • Check that the certificate holder's manual contains instructions and information necessary to allow personnel concerned to perform the duty and responsibility, when requesting an alternate method of compliance (AMOC), to an airworthiness directive, the proposal provides an acceptable level of safety. <i>Sources:</i> 121.135(a)(1); 39.19 <i>Interfaces:</i> 1.3.1–aw; 1.3.2–aw 	
<p>1.6 Does the Certificate Holder's manual include instructions and information necessary for personnel concerned to know that a requested approval for an alternative method of compliance should: <i>SRRs:</i> 121.135(a)(1); 39.17; 39.19</p>	
<p>1.6.1 Include the specific actions that it proposes to address the unsafe condition? <i>SRRs:</i> 39.17; 39.19 <i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> • Check that the certificate holder's manual contains instructions and information necessary to allow personnel concerned to perform the duty and responsibility, when requesting an alternate method of compliance (AMOC), to include the specific actions proposed by the certificate holder to address the unsafe condition. <i>Sources:</i> 121.135(a)(1); 39.17; 39.19 <i>Interfaces:</i> 1.2.2–aw 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, Explain</p>
<p>1.6.2 Be submitted to the principal inspector and, at the same time, sent to the manager of the office identified in the airworthiness directive? <i>SRRs:</i> 39.19 <i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> • Check that the certificate holder's manual contains instructions and information necessary to allow personnel concerned to perform the duty and responsibility, when requesting an alternate method of compliance (AMOC), to submit the request to the assigned Principal Inspector, who may add comments and will send the request to the manager of the office identified in the airworthiness directive. <i>Sources:</i> 121.135(a)(1); 39.19 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, Explain</p>
<p>1.7 Does the Certificate Holder's manual include instructions and information for personnel concerned to know that they may only use the Certificate Holder's proposed alternative if the manager of the office identified in the airworthiness directive has approved it? <i>SRRs:</i> 39.19 <i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> • Check that the certificate holder's manual contains instructions and information necessary to allow personnel concerned to perform the duty and responsibility to use an alternative proposed only if the manager of the office identified in the airworthiness 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, Explain</p>

directive approves it <i>Sources:</i> 121.135(a)(1); 39.19 <i>Interfaces:</i> 1.3.1–aw; 1.3.2–aw; 7.1.6–aw	
1.8 Does the Certificate Holder's manual include instructions and information necessary to allow personnel concerned to follow the requirements of the airworthiness directive in cases where an airworthiness directive incorporates by reference a manufacturer's service document, and that service document conflicts with airworthiness directives? SRRs: 121.135(a)(1); 39.17; 39.27 <i>Related Design JTIs:</i> <ul style="list-style-type: none"> • Check that the certificate holder's manual contains instructions and information necessary to allow personnel concerned to perform the duty and responsibility, if the AD incorporates by reference a manufacturer's service document, to follow the requirements of the AD if there is a conflict between the service document and the AD. <i>Sources:</i> 121.135(a)(1); 39.27 <i>Interfaces:</i> 1.3.1–aw; 1.3.2–aw; 7.1.6–aw	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.9 Does the Certificate Holder's manual include instructions and information necessary to allow personnel concerned to perform the duty and responsibility of keeping records containing the current status of applicable airworthiness directives, including: SRRs: 121.135(a)(1); 121.380(a)(2)(vi) <i>Related Design JTIs:</i> <ul style="list-style-type: none"> • Check that the certificate holder's instructions and information regarding checks performed by pilots as permitted by AD's includes the requirement to follow the specific direction for recording requirements of AD's <i>Sources:</i> AC 39–7C paragraph 13f <i>Interfaces:</i> 1.2.3–aw <ul style="list-style-type: none"> • Check that the certificate holder's manual contains a general policy that it will keep (using the system specified in the manual required in FAR 121.369) the records containing the current status of applicable airworthiness directives including date, and methods of compliance, and if the AD involves recurrent action, the date and time when the next action is required. <i>Sources:</i> 121.135(b)(1); 121.380(a)(2)(vi) <i>Interfaces:</i> 1.2.3–aw; 1.3.1–aw; 1.3.2–aw	
1.9.1 The date and methods of compliance? SRRs: 121.380(a)(2)(vi) <i>Related Design JTIs:</i> <ul style="list-style-type: none"> • Check that the certificate holder's manual contains instructions and information necessary for the personnel concerned to perform the duty and responsibility to keep records containing the current status of applicable airworthiness directives including date, and methods of compliance <i>Sources:</i> 121.135(a)(1); 121.380(a)(2)(vi) <i>Interfaces:</i> 1.2.3–aw; 1.3.1–aw; 1.3.2–aw <ul style="list-style-type: none"> • Check that the certificate holder's manual contains a general policy that they will make available records containing the current status of applicable airworthiness directives including date, and methods of compliance, and if the AD involves recurrent action, the date and time 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

<p>when the next action is required, available for inspection by the Administrator or any authorized representative of the National transportation Safety Board (NTSB). <i>Sources:</i> 121.135(b)(1); 121.380(a)(2)(vi); 121.380(d) <i>Interfaces:</i> 1.2.3–aw; 1.3.1–aw; 1.3.2–aw</p>	
<p>1.9.2 If the airworthiness directive involves recurring action, the time and date when the next action is required? <i>SRRs:</i> 121.380(a)(2)(vi) <i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> • Check that the certificate holder's manual contains instructions and information necessary for the personnel concerned to perform the duty and responsibility to keep records containing the current status of applicable airworthiness directives including, if the AD involves recurrent action, the date and time when the next action is required. <i>Sources:</i> 121.135(a)(1); 121.380(a)(2)(vi) <i>Interfaces:</i> 1.2.3–aw; 1.3.1–aw; 1.3.2–aw • Check that the certificate holder's manual contains a general policy that they will make available records containing the current status of applicable airworthiness directives including date, and methods of compliance, and if the AD involves recurrent action, the date and time when the next action is required, available for inspection by the Administrator or any authorized representative of the National transportation Safety Board (NTSB). <i>Sources:</i> 121.135(b)(1); 121.380(a)(2)(vi); 121.380(d) <i>Interfaces:</i> 1.2.3–aw; 1.3.1–aw; 1.3.2–aw 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
<p>1.10 Does the Certificate Holder's manual include instructions and information necessary to allow personnel concerned to perform the duty and responsibility of: <i>SRRs:</i> 121.135(a)(1) <i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> • Check that the certificate holder's manual contains a general policy that the person/organization designated in Op Spec A047, paragraph b1, is the certificate holder's AD Notification Representative for notice of Telegraphic/Emergency ADs by the notification method so indicated in A047 paragraph b(2). <i>Sources:</i> 121.135(b)(1) Op Spec A047 paragraph b 	
<p>1.10.1 Maintaining the currency of A047 operations specifications? <i>SRRs:</i> A047(c) <i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> • Check that the certificate holder's manual includes instructions and information necessary to allow the personnel concerned to perform the duty and responsibility of maintaining the currency of operations specification A047 <i>Sources:</i> 121.135(a)(1) Op Spec A047 paragraph c 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

<p>1.10.2 Amending the A047 operations specification if any of the information contained in table b(1) or b(2) changes, in accordance with 14 CFR §119.51(c)? SRRs: A047(d)(1)</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> • Check that the certificate holder's manual includes instructions and information necessary to allow the personnel concerned to perform the duty and responsibility of applying for amendment to the A047 operations specification in accordance with 14CFR §119.51(c) if any of the information contained in Op Spec A047 paragraph b changes <p>Sources: 121.135(a)(1) Op Spec A047 paragraph c</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.11 Does the Certificate Holder's manual include instructions and information necessary to allow personnel concerned to perform the duty and responsibility of sending a confirmation receipt of a telegraphic/emergency Airworthiness Directives by sending an e-mail message to 9-AMC-emergency-ad@mmacmail.jccbi.gov, including the following: SRRs: 121.135(a)(1)</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> • Check that the certificate holder's manual contains a general policy that the return receipt (confirmation report) for Telegraphic/Emergency AD's may be faxed to (405) 954-4104 only in the event e-mail is not available <p>Sources: 121.135(b)(1) Op Spec A047 paragraph d(3)</p>	
<p>1.11.1 Name of the operator? SRRs: A047(d)(2)</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> • Check that the certificate holder's manual includes instructions and information necessary to allow the personnel concerned to perform the duty and responsibility to immediately confirm receipt of a Telegraphic/Emergency AD by sending an e-mail message to 9-AMC-emergency-ad@mmacmail.jccbi.gov including the name of the operator <p>Sources: 121.135(a)(1) Op Spec A047 paragraph d(1); Op Spec A047 paragraph d(2)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.11.2 Name of person sending the reply? SRRs: A047(d)(2)</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> • Check that the certificate holder's manual includes instructions and information necessary to allow the personnel concerned to perform the duty and responsibility to immediately confirm receipt of a Telegraphic/Emergency AD by sending an e-mail message to 9-AMC-emergency-ad@mmacmail.jccbi.gov including the name of person sending the reply 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

<p>Sources: 121.135(a)(1) Op Spec A047 paragraph d(1); Op Spec A047 paragraph d(2)</p>	
<p>1.11.3 Operator four-letter designator? SRRs: A047(d)(2)</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> • Check that the certificate holder's manual includes instructions and information necessary to allow the personnel concerned to perform the duty and responsibility to immediately confirm receipt of a Telegraphic/Emergency AD by sending an e-mail message to 9-AMC-emergency-ad@mmacmail.jccbi.gov including the operator four-letter designator <p>Sources: 121.135(a)(1) Op Spec A047 paragraph d(1); Op Spec A047 paragraph d(2)</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, Explain</p>
<p>1.11.4 AD number? SRRs: A047(d)(2)</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> • Check that the certificate holder's manual includes instructions and information necessary to allow the personnel concerned to perform the duty and responsibility to immediately confirm receipt of a Telegraphic/Emergency AD by sending an e-mail message to 9-AMC-emergency-ad@mmacmail.jccbi.gov including the AD number <p>Sources: 121.135(a)(1) Op Spec A047 paragraph d(1); Op Spec A047 paragraph d(2)</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, Explain</p>
<p>1.11.5 This statement: "This message is to confirm receipt of the Emergency Airworthiness Directive referenced above."? SRRs: A047(d)(2)</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> • Check that the certificate holder's manual includes instructions and information necessary to allow the personnel concerned to perform the duty and responsibility to immediately confirm receipt of a Telegraphic/Emergency AD by sending an e-mail message to 9-AMC-emergency-ad@mmacmail.jccbi.gov including the statement: "This message is to confirm receipt of the Emergency Airworthiness Directive referenced above." <p>Sources: 121.135(a)(1) Op Spec A047 paragraph d(1); Op Spec A047 paragraph d(2)</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, Explain</p>
<p>1.12 Does the Certificate Holder's manual include instructions and information necessary to allow personnel concerned to perform the duty and responsibility of sending written confirmation of receipt of an Emergency Airworthiness Directive when they opt to access the web site and print a copy of the AD to expedite the notification? SRRs: 121.135(a)(1); A047(d)(4)</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> • 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable</p>

<p>Check that the certificate holder's manual includes instructions and information necessary to allow the personnel concerned to perform the duty and responsibility, if they opt to access the web site and print a copy of a Telegraphic/Emergency AD, to still send written confirmation to 9-AMC-emergency-ad@mmacmail.jccbi.gov <i>Sources:</i> 121.135(a)(1) Op Spec A047 paragraph d(2); Op Spec A047 paragraph d(4)</p> <ul style="list-style-type: none"> • Check that the certificate holder's manual includes instructions and information necessary to allow the personnel concerned to perform the duty and responsibility, if they opt to access the web site and print a copy of a Telegraphic/Emergency AD, to still FAX the return receipt (confirmation report) to (405) 954-4104 only in the event e-mail is not available <i>Sources:</i> 121.135(a)(1) Op Spec A047 paragraph d(3); Op Spec A047 paragraph d(4) 	
<p>1.13 Does the Certificate Holder's AD Management process comply with the related requirements of 14 CFR Part 39? Related CFRs: 39.7; 39.11; 39.21; 39.23</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> • Check that the certificate holder's manual contains a general policy that it will not operate a product that does not meet the requirements of an AD. <i>Sources:</i> 121.135(b)(1); 39.7 • Check that the certificate holder's manual contains a general policy that it will comply with conditions, limitations and inspections that must be carried out and any actions that must be taken to resolve an unsafe condition. <i>Sources:</i> 121.135(b)(1); 39.11 • Check that the certificate holder's manual contains instructions and information necessary to allow personnel concerned to perform actions specified in an AD. <i>Sources:</i> 121.135(a)(1); 39.11 <i>Interfaces:</i> 1.3.2-aw • Check that the certificate holder's manual contains information that the office responsible for approving alternative methods of compliance can provide information about alternatives it has already approved <i>Sources:</i> 121.135(b)(24); 39.21 • Check that the certificate holder's manual contains a general policy that it may fly its aircraft to a repair facility to do the work required by an airworthiness directive if it has operations specifications giving authority and include a provision that allow them to fly their aircraft to a repair facility to do the work required by an airworthiness directive. <i>Sources:</i> 121.135(b)(1); 39.23 <i>Interfaces:</i> 1.1.3-aw; 3.2.1-op; 7.1.6-aw 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.14 Does the Certificate Holder's AD Management process comply with the guidance contained in FAA Order 8300.10?</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> • Check that the certificate holder's instructions and information regarding content of the current status of an AD record includes identification of the particular airframe, engine, propeller, appliance, or component to which the AD is applicable. 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

<p><i>Sources:</i> 8300.10 Volume 2, Chapter 71 Section 1, Paragraph 7 (5)(a) <i>Interfaces:</i> 1.2.3–aw</p> <ul style="list-style-type: none"> • Check that the certificate holder's instructions and information regarding content of the current status of an AD record includes the airworthiness directive number (and/or regulatory amendment number) <i>Sources:</i> 8300.10 Volume 2, Chapter 71 Section 1, Paragraph 7 (5)(b) <i>Interfaces:</i> 1.2.3–aw • Check that the certificate holder's instructions and information regarding content of the current status of an AD record includes the date, and the time–in–service expressed in the appropriate measuring parameter (hours, cycles, calendar time, etc.), when the required action was accomplished <i>Sources:</i> 8300.10 Volume 2, Chapter 71 Section 1, Paragraph 7 (5)(c) <i>Interfaces:</i> 1.2.3–aw • Check that the certificate holder's instructions and information regarding content of the current status of an AD record includes, if the requirement is recurring, the time–in–service when the next action is due expressed in the appropriate measuring parameter (hours, cycles, calendar time, etc.). <i>Sources:</i> 8300.10 Volume 2, Chapter 71 Section 1, Paragraph 7(5)(d) <i>Interfaces:</i> 1.2.3–aw • Check that the certificate holder's instructions and information regarding content of the current status of an AD record requires a concise description of the action taken to comply with the requirements of the airworthiness directive (method of compliance) <i>Sources:</i> 8300.10 Volume 2, Chapter 71 Section 1, Paragraph 7(5)(e) <i>Interfaces:</i> 1.2.3–aw • Check that the certificate holder's instructions and information regarding content of the current status of an AD record, if the airworthiness directive or its referenced manufacturer's service bulletin permits the use of more than one method of compliance, requires a reference to the specific method of compliance used. <i>Sources:</i> 8300.10 Volume 2, Chapter 71 Section 1, Paragraph 7(5)(e) <i>Interfaces:</i> 1.2.3–aw • Check that the certificate holder's instructions and information regarding content of the current status of an AD record, if the operator uses an alternate method of compliance to comply with an airworthiness directive, requires a description of this alternate method of compliance and a copy of the FAA approval. <i>Sources:</i> 8300.10 Volume 2, Chapter 71 Section 1, Paragraph 7(5)(e) <i>Interfaces:</i> 1.2.3–aw 	
<p>1.15 If alternate procedures exist for use during irregular conditions, do the alternate procedures provide an equivalent level of safety to achieve the same results as the primary procedures?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, Explain</p>

SAI SECTION 1 – PROCEDURES ATTRIBUTE –Drop Down Menu	
1. No procedures, policy, instructions or information specified.	
2. Procedures or instructions and information do not identify (who, what, when, where, how).	
3. Procedures, policy or instructions and information do not comply with CFR.	
4. Procedures, policy or instructions and information do not comply with FAA policy and guidance.	
5. Procedures, policy or instructions and information do not comply with other documentation (e.g., manufacturer's data, Jeppesen's Charts, etc.).	
6. Procedures, policy or instructions and information unclear or incomplete.	
7. Documentation quality (e.g., unreadable or illegible).	
8. Procedures, policy or instructions and information inconsistent across Certificate Holder manuals (FOM – Flight Operations Manual to GMM – General Maintenance Manual, etc.).	
9. Procedures, policy or instructions and information inconsistent across media (e.g., paper, microfiche, electronic).	
10. Resource requirements incomplete (personnel, facilities, equipment, technical data).	
11. Other.	

SAI SECTION 2 – CONTROLS ATTRIBUTE

Objective: Controls are checks and restraints designed into a process to ensure a desired result. The questions in this section of the data collection tool are designed to assist the inspector in determining if checks and restraints are designed into the process to ensure the desired result is achieved. Controls should be written into the manual system to ensure that the most important manual policies, procedures or instructions and information will be complied with.

Controls may be in the form of "administrative controls" which are secondary or supplemental written procedures. Like written procedures, administrative controls also need to provide answers to the associated who, what, when, where and how type questions. Controls may also be in the form of "engineered controls" such as automated features or mechanical actions or devices (i.e., safety devices, warning devices, etc.).

Tasks

To meet this objective, the inspector must accomplish the following tasks:

- 1 Review the control questions below.
- 2 Review the Certificate Holder's policies, procedures, instructions and information to gain an understanding of the controls that it has documented.

Questions

To meet this objective, the inspector must answer the following questions:

- 2 Are the following controls built into the AD Management process:

2.1 Is there a control in place to ensure the Certificate Holder's records indicate that the aircraft, aircraft engines, propeller, and/or appliances are in compliance with applicable Airworthiness Directives (AD)?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.2 Is there a control in place to ensure actions are performed as specified in the Airworthiness Directive?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.3 Is there a control in place to ensure that if an aircraft, aircraft engine, propeller, and/or appliance is changed in a way that affects the ability to accomplish the actions required by an AD, the Certificate Holder obtains an approved alternate method of compliance?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.4 Is there a control in place to ensure that any alternate method of compliance is granted with the Principal Inspector's knowledge?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.5 Is there a control in place to ensure that the Certificate Holder obtains ACO approval for a change in compliance time, if the aircraft is to be operated differently than AD limitation requirements?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.6 Is there a control in place to ensure the Certificate Holder's AD accomplishment records are accurate?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.7 Is there a control in place to ensure the Certificate Holder receives Emergency/Telegraphic AD's that affect an aircraft type in its fleet?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.8 Is there a control in place to ensure that AD requirements, performed by a contractor, are properly accomplished?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.9 Does the Certificate Holder have a documented method for assessing the impact of any changes made to the controls in the AD Management process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

SAI SECTION 2 – CONTROLS ATTRIBUTE –Drop Down Menu
1. No controls specified.
2. Documentation for the controls do not identify (who, what, when, where, how).
3. Controls incomplete.
4. Controls could be circumvented.
5. Controls could be unenforceable.
6. Resource requirements incomplete (personnel, facilities, equipment, technical data).
7. Other.

SAI SECTION 3 – PROCESS MEASUREMENT ATTRIBUTE

Objective: Process measurements are used by the Certificate Holder to measure and assess its processes to identify and correct problems or potential problems and to make improvements to the processes. The questions in this section of the data collection tool are designed to assist the inspector in determining if the Certificate Holder measures or assesses information to identify, analyze and document potential problems with the process. Process measurements are basically a Certificate Holder's internal evaluation or auditing of the most important policies, procedures or instructions and information associated with an element.

To prevent the duplication of work that would otherwise occur, Process Measurements are most commonly addressed through a combination of auditing features contained in both the Certificate Holder's Safety Program/Internal Evaluation Program (for Operations and Cabin Safety related issues) and the auditing function of the Continuous Analysis & Surveillance System (for Airworthiness or Maintenance/Inspection related issues). The Director of Safety and the Quality Assurance Department often work in conjunction to accomplish this function for the Certificate Holder. This approach simply requires amendment of the Safety Program/Internal Evaluation Program audit forms or checklists and the Continuous Analysis & Surveillance System audit forms or checklists to include the specific process measurements for each element.

Tasks

To meet this objective, the inspector must accomplish the following tasks:

- 1 Review the process measurement questions below.
- 2 Review the Certificate Holder's policies, procedures, instructions and information to gain an understanding of the process measurements that it has documented.

Questions

To meet this objective, the inspector must answer the following questions:

- 3 Does the Certificate Holder's AD Management process include the following process measurements:

3.1 Does the Certificate Holder have process measurements that would reveal if records indicate that the aircraft, aircraft engines, propeller, and/or appliances were not in compliance with applicable Airworthiness Directives (AD)?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.2 Does the Certificate Holder have process measurements that would reveal if the observed actions were not performed as specified in the Airworthiness Directive?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.3 Does the Certificate Holder have process measurements that would reveal if an aircraft, aircraft engine, propeller, and/or appliance was changed, in a way that affected the ability to accomplish the actions required by an AD, without obtaining an approved Alternate Method of Compliance?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.4 Does the Certificate Holder have process measurements that would reveal if the Alternate Methods of Compliance were granted without the Principal Inspector's knowledge?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.5 Does the Certificate Holder have process measurements that would reveal if the Certificate Holder failed to obtain ACO approval for a change in compliance time, if the aircraft is operated differently than AD limitation requirements?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.6 Does the Certificate Holder have process measurements that would reveal if the Certificate Holder's AD accomplishment records were not accurate?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

3.7 Does the Certificate Holder have process measurements that would reveal if it failed to receive Emergency/Telegraphic AD's that affect an aircraft type in its fleet?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.8 Does the Certificate Holder have process measurements that would reveal if AD requirements, performed by a contractor, were not properly accomplished?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.9 Does the Certificate Holder document its process measurement methods and results?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.10 Does the organization that conducts the process measurements have direct access to the person with responsibility for the AD Management process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

SAI SECTION 3 – PROCESS MEASUREMENT ATTRIBUTE –Drop Down Menu	
1. No process measurements specified.	
2. Documentation for the process measurements does not identify (who, what, when, where, how).	
3. Inability to identify negative findings.	
4. No provisions for implementing corrective actions.	
5. Ineffective follow-up to determine effectiveness of corrective actions.	
6. Resources requirements (personnel, facilities, equipment, technical data).	
7. Other.	

SAI SECTION 4 – INTERFACES ATTRIBUTE

Objective: Interfaces are used by the Certificate Holder to identify and manage the interactions between processes. The questions in this section of the data collection tool are designed to assist the inspector in determining whether or not interactions between the procedures, policies or instructions and information associated with other independent processes within the Certificate Holder's organization are documented. Written procedures, policies or instructions and information that are interrelated and located in different manuals within the Certificate Holder's manual system need to be consistent and complement each other. For the interfaces to be effectively managed, it is not only important to identify what the interfaces are, but it is imperative to document the specific location of the interfaces within the Certificate Holder's manual system.

Tasks

To meet this objective, the inspector must accomplish the following tasks:

- 1 Review the interfaces associated with the AD Management process that have been identified along with the individual questions in the Procedures Section (1) of this data collection tool.
- 2 Review the Certificate Holder's policies, procedures, instructions and information to gain an understanding of the interfaces that it has documented.

Questions

To meet this objective, the inspector must answer the following questions:

NOTE: ALL EXPLANATIONS IN THE DROP DOWN MENU FOR "NO" ANSWERS MUST INCLUDE THE INDIVIDUAL QUESTION NUMBER FROM THE PROCEDURES SECTION (1) OF THIS DATA COLLECTION TOOL AND THE ELEMENT NUMBER OF THE INTERFACE(S) THAT WERE NOT ADDRESSED.

4. Does the Certificate Holder's manual:

- | | |
|--|--|
| 4.1 Properly address the interfaces that are identified along with the individual questions in the Procedures Section (1)? | <input type="checkbox"/> Yes
<input type="checkbox"/> No, Explain |
| 4.2 Document a method for assessing the impact of any changes to the associated interfaces within the AD Management process? | <input type="checkbox"/> Yes
<input type="checkbox"/> No, Explain |
| 4.3 List additional interfaces identified during the accomplishment of this SAI. | |

SAI SECTION 4 – INTERFACES ATTRIBUTE –Drop Down Menu
1. No interfaces specified.
2. The following interfaces not identified within the Certificate Holder's manual system:
3. Interfaces listed are inaccurate.
4. Specific location of interfaces not identified within the manual system.
5. Other

SAI SECTION 5 – MANAGEMENT RESPONSIBILITY & AUTHORITY ATTRIBUTE

Objective: The questions in this section of the data collection tool address the responsibility and authority of the process. They are designed to assist the inspector in determining if there is a clearly identifiable, qualified and knowledgeable person who is responsible for the process, is answerable for the quality of the process and has the authority to establish and modify the process. (The person with the authority may or may not be the person with the responsibility.)

Tasks

To meet this objective, the inspector must accomplish the following tasks:

- 1 Identify the person who has overall responsibility for the AD Management process.
- 2 Identify the person who has overall authority for the AD Management process.
- 3 Review the duties and responsibilities of the person(s), documented in the Certificate Holder's manual.
- 4 Review the appropriate organizational chart.

Questions

To meet this objective, the inspector must answer the following questions:

5. Are the following aspects of the Responsibility and Authority Attributes addressed in the AD Management process:

5.1 Does the Certificate Holder's manual clearly identify who is responsible for the quality of the AD Management process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title: <input type="text"/>
5.2 Does the Certificate Holder's manual clearly identify who has authority to establish and modify the policies, procedures, instructions and information for the AD Management process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title: <input type="text"/>
5.3 Does the Certificate Holder's manual include the duties and responsibilities of those who manage the work required by the AD Management process? SRRs: 121.135(b)(2)	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
5.4 Does the Certificate Holder's manual include instructions and information for those who manage the work required by the AD Management process? SRRs: 121.135(a)(1)	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
5.5 Does the Certificate Holder's manual clearly and completely document the authority for this position?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
5.6 Does the Certificate Holder's manual clearly and completely document their qualification standards for the person having responsibility for the AD Management process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
5.7 Does the Certificate Holder's manual clearly and completely document their qualification standards for the person having authority to establish and modify the Certificate Holder's policies, procedures, instructions and information for the AD Management process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
5.8 Does the Certificate Holder's manual clearly and completely document the procedures for delegation of authority for the AD Management process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

SAI SECTION 5 – MANAGEMENT RESPONSIBILITY & AUTHORITY ATTRIBUTE –Drop Down Menu
1. Not documented.
2. Documentation unclear.
3. Documentation incomplete.
4. Other.